

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

CERTIFICATE OF MAILING BY "EXPRESS MAIL" NO. EL 561390904US

I hereby certify that this correspondence is being deposited with the United States Postal Service as express mail in an envelope addressed to:  
Assistant Commissioner for Patents, Washington, D.C. on November 8, 2000.

Name: Peggy A. Nichols Signature: Peggy Nichols

In re Application for:

Gary D. Glick et al.

Examiner: Not Yet Assigned

Serial No.: Not Yet Assigned

Group Art Unit: Not Yet Assigned

Filing Date: Herewith

For: THERAPEUTIC APPLICATIONS OF  
PRO-APOPTOTIC BENZODIAZEPINES

**PROSECUTION BY ASSIGNEE AND POWER OF ATTORNEY  
UNDER 37 C.F.R. § 3.71**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The Regents of the University of Michigan, the assignee of the entire right, title and interest in this patent application, under 37 C.F.R. § 3.71 hereby appoints:

Antoinette F. Konski (Reg. No. 34,202)  
Charles R. Nold,(Reg. No. P-46,470)

all of Baker & McKenzie, 660 Hansen Way, Palo Alto, CA 94304, to prosecute this application and transact all matters in the United States Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorneys in accordance with the provisions of 37 C.F.R. § 3.71.

Please direct all written communications relative to this application to:

Antoinette F. Konski  
Baker & McKenzie  
660 Hansen Way  
Palo Alto, CA 94304

Please direct all telephone communications to Antoinette F Konski at (650) 856-55

THE REGENTS OF THE UNIVERSIT  
OF MICHIGAN

Dated: 07/19/00

By: Marvin G. Parnes  
Name: Marvin G. Parnes  
Title: Associate Vice President for Re  
Address: Wolverine Tower, RM 2071  
3003 S. State St.  
Ann Arbor, MI 48109-1280

**DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION**  
**(37 C.F.R. § 1.63)**

**AS A BELOW-NAMED INVENTOR, I HEREBY DECLARE THAT:**

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**THERAPEUTIC APPLICATIONS OF PRO-APOPTOTIC BENZODIAZEPINES**, the specification of which is attached hereto unless the following box is checked:

is attached hereto

OR

was filed on \_\_\_\_\_ as United States Application Serial No. or PCT International Application No. \_\_\_\_\_ and was amended on \_\_\_\_\_ (if applicable).

I HEREBY STATE THAT I HAVE REVIEWED AND UNDERSTAND THE CONTENTS OF THE ABOVE-IDENTIFIED SPECIFICATION, INCLUDING THE CLAIMS, AS AMENDED BY ANY AMENDMENT REFERRED TO ABOVE.

I acknowledge the duty to disclose information which is material to the patentability as defined in 37 C.F.R. § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States of America listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

Prior Foreign Application Number	Country	Foreign Filing Date (month/day/year)	Priority Claimed?
			<input type="checkbox"/> Yes <input type="checkbox"/> No

I hereby claim benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

Application Number	Filing Date
60/131,761	04/30/1999
60/165,511	11/15/1999
60/191,855	03/24/2000

I hereby claim the benefit under 35 U.S.C. § 120 of the United States application(s), or § 65(c) of any PCT International application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. §112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Number	Parent Filing Date (month/day/year)	Parent Patent Number <i>(if applicable)</i>
PCT/US00/11599	04/27/2000	N/A

Please direct all communications to:

Antoinette F. Konski, Esq.  
Baker & McKenzie  
660 Hansen Way  
Palo Alto, California 94304  
Telephone: (650) 856-2400  
Facsimile: (650) 856-9299

Please direct all telephone calls to Antoinette F. Konski at (650) 856-5564.

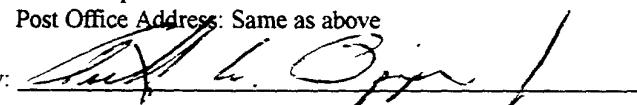
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title of 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date: 7/11/00

By: 

Name: Gary D. Glick  
Residence: 930 North University, Ann Arbor, MI 48109-1055  
Citizenship: US  
Post Office Address: Same as above

Date: 7/14/00

By: 

Name: Anthony W. Opiari, Jr.  
Residence: 4228 Sherwood Forest Court East, Ann Arbor, MI 48103  
Citizenship: US  
Post Office Address: Same as above

Each person, concern, or organization having any rights in the invention is listed below:

- no such person, concern, or organization exists.  
 each such person, concern, or organization is listed below.

NAME	ADDRESS	TYPE
		<input type="checkbox"/> Individual <input type="checkbox"/> Small Business Concern <input type="checkbox"/> Nonprofit Organization

Separate statements are required from each name person, concern or organization having rights to the invention stating their status as small entities (37 CFR § 1.27).

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status of a small entity is no longer appropriate (37 CFR § 1.28(b)). I am authorized sign on behalf of the Assignee.

NAME OF PERSON SIGNING: **Marvin G. Parnes**

TITLE OF PERSON IF OTHER THAN OWNER: **Associate Vice President for Research**

ADDRESS OF PERSON SIGNING: **Wolverine Tower, RM 2071, 3003 S. State St. Ann Arbor, MI 48109-1280**

SIGNATURE: Marvin G. Parnes

DATE: 07/17/00

U.S. PATENT AND TRADEMARK OFFICE

Applicant	Gary D. Glick et al.	Attorney Docket No.: 128109203801
Application No.:	Not Yet Assigned	
Filing Date:	Herewith	
For:	THERAPEUTIC APPLICATIONS OF PRO-APOPTOTIC BENZODIAZEPINES	

**STATEMENT CLAIMING SMALL ENTITY STATUS  
NONPROFIT ORGANIZATION (37 C.F.R. §§ 1.9(f) & 1.27(d))**

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

**NAME OF NONPROFIT ORGANIZATION:** **The Regents of the University of Michigan**

**ADDRESS OF NONPROFIT ORGANIZATION:** **Wolverine Tower, Room 2071**  
**3003 S. State Street**  
**Ann Arbor, MI 48109-1280**

Type of nonprofit organization:

- University or other institution of higher education
- Tax exempt under Internal Revenue Service Code (26 U.S.C. 501(a) and 501(c)(3))
- Nonprofit scientific or educational under statute of state of the United States of America  
 (Name of State: )  
 (Citation of Statute: )
- Would qualify as tax exempt under Internal Revenue Service Code (26 U.S.C 501(a) and 501(c)(3)), if located in the United States of America.
- Would qualify as nonprofit scientific or educational under statute of State of the United States of America if located in the United States of America  
 (Name of State: )  
 (Citation of Statute )

I hereby state that the above identified nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. §1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office with regard to the invention entitled THERAPEUTIC APPLICATIONS OF PRO-APOPTOTIC BENZODIAZEPINES, by inventors **Gary D. Glick and Anthony W. Oripipari, Jr.**, as described in:

- the specification filed herewith with title as listed above.
- the application identified above.
- the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent invention under 37 CFR § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR § 1.9(d), or a nonprofit organization under 37 CFR § 1.9(e).